



FY25 INDUSTRY INNOVATION PROGRAM NOTICE OF FUNDING OPPORTUNITY (NOFO)



Oklahoma Center for the Advancement of Science and Technology (OCAST)

Industry Innovation Program Notice of Funding Opportunity (NOFO)

NOFO Issue Date:	06/17/2024
Application Open Date:	07/01/2024 12:00:00AM
Submission Deadline for Applications:	07/31/2024 11:59:59PM
Anticipated Date for Award Announcement:	09/17/2024
Target Contract Start Date:	10/01/2024

- To apply to this NOFO, applicants must register with and submit application materials through OCAST's online application portal, OGX, at https://ogx.ok.gov.
- Applicants must be registered as a State vendor PRIOR to final award consideration.
- Applicants must designate points of contact in OGX with whom OCAST will communicate to conduct award contracting. OCAST will only communicate with designated points of contract.
- If an application is selected for award contracting it is imperative that the applicant be responsive during award contracting and meet contract deadlines.

Failure to meet the above requirements may result in cancelation of further award contracting and rescission of the selection.



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Background

OCAST

The Oklahoma Center for the Advancement of Science and Technology (OCAST) was established in 1987 by the Oklahoma Legislature as part of a broader initiative to diversify the state's economy and promote technological innovation. OCAST was founded with the mission of advancing science and technology in Oklahoma to stimulate economic growth and enhance the state's competitiveness in the global marketplace.

Since its inception, OCAST has played a key role in fostering innovation and supporting research and development activities across various sectors, including aerospace, biotechnology, energy, and information technology. The agency provides funding through competitive award programs to support innovative development of new technologies, processes, and solutions-based projects conducted by private companies and research partners.

Over the years, OCAST has expanded its programs and initiatives to address emerging technological challenges and opportunities. It has also collaborated with other state agencies, industry partners, and academic institutions to promote entrepreneurship, technology transfer, and workforce development in Oklahoma.

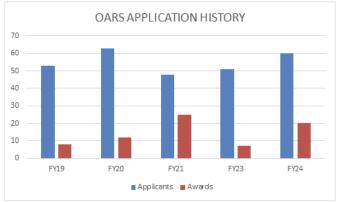
Industry Innovation Program

OCAST's Industry Innovation Program, previously referred to as the Oklahoma Applied Research and Support (OARS) Program, is a competitive funding initiative awarding projects ranging from \$10,000 to \$500,000 to companies, including manufacturers, spearheading innovative endeavors with the potential to bolster Oklahoma's economic landscape. These projects must address industry-specific needs and possess practical applications within targeted sectors. The program offers non-dilutive funding to Oklahoma-based companies to facilitate the recruitment of scientific and technical talent, forge partnerships, procure essential resources and equipment, or validate technologies poised for market entry.

Eligible projects must:

- Concentrate on established or emerging technologies within three key industry sectors vital to Oklahoma's economy: Aerospace/Autonomous Systems and Defense, Biotechnology/Life Sciences, and Energy Diversification;
- Drive technological advancements and demonstrate a strong likelihood of yielding commercially viable products, processes, or services within two years of project culmination;
- Be technically robust and yield quantifiable outcomes; and
- Exhibit a reasonable potential for job creation or retention, enhanced capital investment, and increased revenue, thereby contributing to economic growth within the state.





Purpose/Objectives

Oklahoma State Innovation Pipeline

As part of the <u>2021-2026 Science and Innovation Strategic Plan</u>, OCAST aims to solidify Oklahoma's position among the top 10 states in innovation and economic growth by strategically investing in three key technology sectors: aerospace/autonomous systems and defense, biotechnology/life sciences, and energy diversification.

- Aerospace, Autonomous Systems, and Defense: With a legacy of aviation leadership and
 infrastructure, including the FAA's Mike Monroney Aeronautical Center and Tinker Air Force
 Base, Oklahoma is primed to capitalize on this sector. Leveraging its expertise in weather
 research, advanced air mobility, and public safety, the state is poised to become a hub for
 autonomous systems and aerospace innovation.
- 2. Biotechnology/Life Sciences: Oklahoma boasts a strong foundation in biotechnology, with renowned research institutions like the University of Oklahoma and Oklahoma State University, along with numerous biotech companies. With investments, Oklahoma has the potential to emerge as a leading state in the biotechnology industry.
- 3. Energy Diversification: Building on its history in oil and natural gas, Oklahoma is expanding its focus to include efficient and eco-friendly energy solutions, such as wind, solar, and geothermal. With significant wind capacity and a commitment to renewable resources, the state is positioned to lead in diverse energy initiatives.

By prioritizing these sectors, Oklahoma aims to maximize job creation and return on investment, propelling its economy forward in the realm of innovation and growth.

Economic Impact and Innovation

OCAST's goal is to stimulate innovation in science and technology, promote economic growth through strategic investment in cutting-edge research and capital deployment and address STEM workforce issues. This program aligns with Oklahoma's Science and Innovation Strategic Plan, specifically to boost Oklahoma's competitiveness in science and technology, leading to an enhanced economic return.

Successful applicants to the Industry Innovation program will solve industry-identified needs with projects that will show tangible, data-driven impacts in both short-term and long-term milestones. Awardees will work with OCAST in telling the story of their success through their impacts on the Oklahoma Innovation ecosystem.



Eligibility Criteria

To be eligible for funding, the proposed project must solely address an issue identified by a private sector business.

Eligible applicants intending to submit an application must meet the following criteria:

- Private Sector Enterprises of special importance to the Oklahoma economy, defined as firms with a permanent office in Oklahoma, registered with the Secretary of State.
- The business must certify the industry problem being solved has a negative impact on efficiency, potential for improvement, and/or hindrance to future growth.
- Business must acknowledge that the proposed project can address the issue based on their expertise and commit to implementing the results if deemed a solution.

Principal Investigators preparing applications:

- Must be individuals employed by an eligible applicant organization.
- Defined as persons proposing research projects and primarily responsible for their execution.

Principal Investigator changes:

- Changes can be made prior to the award announcement.
- If the PI is unable to perform, OCAST must be notified within ten (10) calendar days of the realization. If OCAST does not agree with the proposed alternate or one is not available, award funds will revert to OCAST.

Eligibility criteria for past awardees:

- Failure to correct a material breach of a previously awarded contract may disqualify from future funding.
- Delinquent progress reports:
 - Disqualify investigators or co-investigators from submitting applications, undergoing external peer review, or receiving contracts until reports are submitted and satisfactorily evaluated.
 - If outstanding progress reports of existing awards are not submitted within sixty (60) days of the award date, the award may be nullified, and funds returned to the Industry Innovation Fund.

Funding Available

For State Fiscal Year 2025, OCAST will make available \$4,719,227* in funds for the Industry Innovation Program. This will be allotted to projects in descending order starting with the highest ranked by the evaluators until funding is exhausted. The total award for each project shall not exceed \$500,000.

OCAST will recommend additional awards for funding to the OSTRaD Board. Should additional funding become available during FY25, additional awards will be made to these approved applications in ranked order.

*Pending the final FY25 State Budget and OSTRaD Board Approval



Application Process

OGX Registration

Applicants must use OGX to complete and submit applications at https://ogx.ok.gov. OGX requires organization to assign an Agency Administrator role and an Authorized Official role for submission of an application. If necessary, one person may have both roles. Find additional information about using the OGX system at https://oklahoma.gov/content/dam/ok/en/ocast/documents/ogx/ogx-user-guide.pdf

Application Steps

Applications will be initiated through the OGX system by selecting the application in the My Opportunities section of OGX.

Multiple applications are allowed per organization under the stipulation that each application contain a unique project meeting the above criteria. Each application will receive a unique Document Name (AR25-XXX). Once initiated, applications can be continued at any point through the My Tasks Section.

The application will consist of input fields directly in the OGX system through several pages. Character limits will be stated in each section and required fields will be denoted. The below Application Outline provides additional information of each field. Applicants will have the ability to start, save, and return to their application as many times as desired before submitting it to OCAST.

All applicants must change the Status of each application to "Application Submitted" prior to the deadline to be considered for review. All applications left in the "Application in Process" status at the end of the application period will be automatically changed to "Application Not Submitted". No Status changes can be made after the submission deadline.

Application Outline

The following section contains a brief description of items required in the application.

Project Information

- Project Title Keep title as concise as possible for marketing purposes.
- Project Description A brief executive summary of the project, which will be used to describe the project to the OSTRaD board and State Legislators. This section should describe the industry problem to be solved in a brief manner. Please limit responses to a paragraph.
- Project Abstract A detailed explanation of the project plan and an outline for the main goals of the project. This section should completely encompass all aspects of the project, including plans, equipment needs, background research, and significant anticipated milestones.
- Total Project Budget Total cost expected to be expensed to complete this project. This could include funds beyond the period of OCAST funding.
- OCAST Funds Requested One- to three-year breakdown of OCAST funds requested. This will be used to define budgets for contracted years.
- Intellectual Property (IP) Status an overview of any potential IP issues and what licenses, patents, or other IP vehicles will be required or result from this project.
- Significance of the Project the overall impact goals of the project and what effect it will have on the technological economy in Oklahoma.



- Preliminary and Related Work overview of project background and phases already complete, including outside research directly completed by applicant.
- Project Objectives and Milestones specific measurable goals of the project. These should be both aspirational and achievable as outcomes to the project abstract, as described.
- Project Facilities and Dedicated Equipment an outline of all facilities and equipment used for this project, both company and contractor owned assets and any items intended to be purchased with awarded funds.
- Project Team a list of all relevant staff associated with the project.
 Uploads of the resume/CVs of each staff member will be required in a later section. Any potential staff, e.g., backup Principal Investigators, should also be included for review.

Economic Impact

- Matching Funds specific dollar amounts of funds intended to be used as match, broken down by source
- Anticipated Follow-on Funds additional funds expected as a result of this project being funded, projected over 2, 4, and 6 years
- Job Impact existing and created jobs as a result of this project being funded
- Anticipated Jobs follow on jobs that are of a direct result of this project, projected over 2, 4, and 6 years
- Go to Market Plan how this project will deliver a unique value proposition to solve an industry need
- Existing Sales an overview of the company's current size and revenue
- Anticipated Sales increases in the company's performance that is a direct result of this project, projected over 2, 4, and 6 years
- Indirect Impacts additional potential impacts of this project, such as patents, trademarks, copyrights, licenses, or royalties

Supporting Documents

OCAST has included this section of the application for applicants to upload additional supporting documentation. Documents uploaded on this page that are denoted optional are not required to be reviewed by the reviewers but may be utilized by the reviewers at their discretion.

- Supporting Graphics (optional): Diagrams, graphics, or other material to be shared with reviewers.
- CVs and Resumes (required): Documentation for all team members, contract official, and principal investigator
- Works Cited (optional): Any previous researched referred to in the project description that may be needed to inform reviewers of related works
- Letters of Commitment and Support (optional): Any letter or documentation of contractors or other partnerships supporting this project

Budget

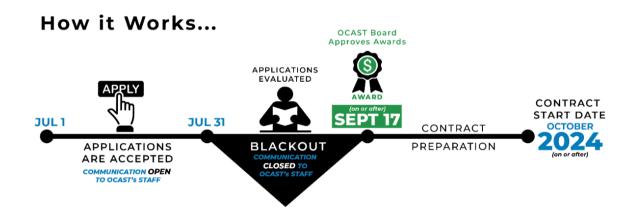
Upon award of any funded project, the budget included in the application will become the contractual budget for the project. This budget should include all expected project-



related expenditures, both from OCAST funds and outside resources. Please include full amounts of outside resources as 'match', which in most cases will exceed the required matching amount. During the project period, contractors may move up to 10% of their total annual budget between budget categories without requesting approval from OCAST. However, once more than 10% of the total annual budget is or will be moved between budget categories, a formal budget modification request must be submitted for OCAST's review. Budget modification may be allowed upon approval by OCAST. Projects that progress faster than anticipated could potentially amend budget years to receive funds earlier. However, delayed projects will not be allowed to rollover funds to future contracted years. Budget categories will include items such as:

- Personnel all W-2 employees paid directly from the applicant organization, whether full-time or part-time
- Professional Travel Subject to guidelines and restrictions for State of Oklahoma employee travel (https://www.ok.gov/DCS/documents/StateTravelPolicy.pdf)
- Supplies Consumable items to support the project, itemized by category
- Equipment All items over \$500
- Contractual services including contract (1099) employees

Application Timeline



Evaluation Rubric

All applications will receive a primary and secondary review by recognized experts in the science, technology, engineering, and mathematics (STEM) field(s) associated with the proposed project, a majority of whom reside outside the state of Oklahoma. These reviewers will be provided by an OCAST contractor and will be directed to evaluate applications as follows:

- Technical merit of the project (30%)
 - Quality of the Project Abstract
 - o Appropriateness of field to the Oklahoma State Innovation Pipeline
 - Significance of the research to generate intellectual property to meet Oklahoma's technology goals



- Likelihood the proposed project will be able to solve the business-identified problem or statement of need
- Degree of technical risk, as evidenced by a project that has never been attempted and/or successfully done before and that faces technical hurdles that OCAST Industry Innovation funds will help overcome
- Ability to perform the research (20%)
 - Probability of success of the research plan
 - Adequacy of facilities and equipment
 - Competence of the investigator(s), team, organization, and partners as measured by training, research, and commercialization experience
 - Commitment of the applicant organization as evidenced by resources dedicated to the project
- Potential for economic impact in Oklahoma (50%)
 - Adequacy of matching funding or other project support
 - Potential for attracting future non-OCAST funding
 - Commitment of financial resources from both the company and its partners to successfully bring product to market
 - Degree of interest shown by private sector businesses in Oklahoma as well as outside the state, as evidenced by financial and/or in-kind support provided, market analyses, and partnership agreements
 - o Potential for creating jobs that will enhance the technology base in OK
 - Proposed project's potential to increase profit, create jobs, expand market share, and open new markets for the Oklahoma company, as evidenced by:
 - The potential to disrupt the targeted market
 - Good product-market fit, as validated by customers
 - Demonstrated barriers to entry for competition
 - The potential for societal benefit through commercialization under a sustainable business model
 - Availability of marketing capability within the company and/or its partners to successfully bring product to market
 - National and international growth potential for the company within 5 years of completion of this project
 - Potential for leading to a commercially successful product, process, or service within 2 years of project completion
 - Potential for leading to a commercially successful product, process, or service within 5
 years of project completion
 - Overall potential for short-term economic impact (within 5 years of project completion) on the Oklahoma economy
 - Probability that economic benefits resulting from this project will primarily impact
 Oklahoma

Applicants should ensure that the application information they enter into OGX effectively addresses the evaluation criteria listed above.

Review Process

Vendor Portal Registration

All applicants must begin the process of registration to be a State vendor immediately upon submitting their application. Applicants that are not registered by the State of Oklahoma as a supplier WILL NOT be



recommended to the board for approval. Registration information can be found here: https://oklahoma.gov/content/dam/ok/en/omes/documents/NewSupplierGuide.pdf

Review Timeline

All applications will be pre-reviewed by OCAST staff upon submission for completeness and eligibility for the program. Once the application period has ended, all pre-reviewed and eligible applications will be sent for external review. No adjustments or additional information can be provided on applications during this period.

Applications will be reviewed by subject matter experts contracted by OCAST staff in compliance with the program guidelines. Two reviewers will evaluate each application based on the provided evaluation rubric and will provide written feedback. The review contractor will provide a ranked list of all applications for OCAST to consider recommending for board approval.

Board Approval

Based on available funding, OCAST staff will present a list of applicants to be funded to the OSTRaD board for approval. In addition to projects recommended for funding, OCAST will recommend additional projects to be funded if more funding is made available throughout the current fiscal year.

Notification of Award

All applicants will be notified of the award funding decision via an e-mail automatically generated by OGX. (Please ensure your email server is set up to receive emails from OGX.) Once the decisions are announced, evaluations will be available to view within OGX. Notice of Award Letters for funded applicants will be emailed to Project Leads and Contract Officials within seven business days of the award funding decision. The Notice of Award Letter will contain important information regarding documentation required for award contract initiation. When an award is made, applicants may be required to provide certification that all regulations pertaining to research use of human subjects, vertebrate animals, recombinant DNA, radioisotopes, narcotics and dangerous drugs, and biological hazards have been satisfied. When information requested in the Notice of Award Letter is received, the contract proceedings will be initiated by OCAST.

Contracting

Contract Specifications

Oklahoma statute (§74-5060.19) requires the funding mechanism for the Industry Innovation award be a professional services contract between OCAST, the applicant organization, and any additional applicant organizations. OCAST issues payments to contractors on a reimbursement basis upon receipt of satisfactorily completed requests for reimbursement, including any OCAST-required additional documentation, that are submitted to the agency via OGX. While making a funding determination to ensure compliance with the contract, reimbursement payments may be held by OCAST for as much as 45 days.

- 1. The Contractor is the applicant organization that: (1) employs or is affiliated with the Principal Investigator, (2) provides project services and/or facilities for the funded project, and (3) executes the contract.
- 2. The Fiscal Agent is the applicant organization that submits requests for payment to OCAST and receives and accounts for all contract payments from OCAST and is designated as such in the application. The contract shall include commitments on the part of the contractor(s) to perform the activities described in the application and funded by OCAST. However, the obligations of



- each party to a contract shall be limited to that portion of the contract they have committed to perform.
- 3. Start dates for contracts cannot be delayed more than 60 days after the notification of award is sent and requests for delayed start dates will only be considered if there is a compelling reason, such as an unavoidable delay in securing IRB approval, the Principal Investigator is unavoidably detained on another project, unavoidable material shortages, etc.
- 4. Contract extensions may be considered by OCAST, including no-cost extensions, but cannot be permitted for more than 90 days after the original contract end date. Requests for contract extensions must be submitted through the OGX system no fewer than 30 days before the end of the contract period.
- Contractors MUST sign up for EFT payments to receive award funds. Additional information on this process can be found here: https://oklahoma.gov/content/dam/ok/en/omes/documents/SettingUpBankingUser.pdf

Audits

OCAST may perform compliance reviews and audits of contracts executed by the agency for all OCAST programs including the Industry Innovation program. The acceptance of an OCAST professional service contract obligates the contractor to permit authorized representatives of OCAST and the State of Oklahoma to have full access to, and the right to fully examine, all such records and documentation pertaining to the project.

Use of Application Information

OCAST is subject to the Open Meeting and Open Records Acts. OCAST may use the content of application abstracts from OGX and summaries from annual progress reports for the required OCAST annual report or other publications without obtaining permission from the applicant or applicant organization(s). Public release of information in any proposal or application submitted will be subject to existing statutory and regulatory requirements.

Reporting Requirements

Request for Reimbursement

Funds will be issued on a reimbursement basis. Reimbursement requests will be submitted through the OGX system. Requests can be submitted for a minimum of a monthly period with a total maximum number of requests of twelve, annually.

Reimbursement requests and any submitted documentation will be reviewed by OCAST staff for adherence to the stated budget and compliance with the project goals. OCAST may return reimbursement requests for contract/budget amendments, as needed.

Progress Reports

OCAST requires each Principal Investigator who is funded under the Industry Innovation program to submit quarterly progress reports corresponding to the date of each contract period except for the end of the final contract period. Each PI must submit a final report thirty (30) days after the end of the final contract period. Failure to submit these reports as required may result in a gap in funding or loss of funds.

Project performance may be evaluated by contracted reviewers. Any questionable progress report may be returned for revision and/or clarification and may be submitted to another reviewer for additional



evaluation. An unsatisfactory performance evaluation may result in the suspension of payments until remediation plans have been arranged or potentially in the termination of the project and forfeiture of remaining funds.

Economic Impact Reporting

Organizations funded by OCAST are required to respond to requests for economic impact data, which may be disseminated by OCAST on an annual or semi-annual basis beginning in year one of the funding project period and extending up to four years after the end of OCAST funding.



Appendix A – Unallowable Costs

OCAST reimburses contractors for only expenses incurred during the contract funding period for purposes and activities in the original proposal approved by OCAST. OCAST does not reimburse for indirect costs. Below are some types of expenses that OCAST generally does not allow. This list is not exhaustive.

- 1. Alcoholic Beverage Costs Costs of alcoholic beverages, regardless of intended use are unallowable.
- 2. Advertising/Marketing newspaper, billboard, magazine, direct mail advertising (costs associated with recruiting test subjects or interns may be allowable).
- 3. Administrative Support Costs associated with secretarial, human resources, bookkeeping, professional accounting, consultant services, etc.
- 4. Audit Costs Fees for the performance of internal or external audits.
- 5. Automobiles Costs associated with the purchase or lease of a vehicle, regardless of its intended use; costs associated with vehicle maintenance and servicing.
- 6. Bad Debt Losses resulting from uncollectible accounts receivable; collection agency expenses.
- 7. Building & Equipment Depreciation Non-cash expenses associated with the reduction in value of buildings or equipment as the result of wear and tear, age, or obsolescence.
- 8. Computers/Computing Equipment Desktop, laptop, tablet, and handheld computers and related computing devices; includes computer peripherals (monitor, keyboard, mouse, printer, scanner, audio equipment, touch pad, digital stylus, graphic drawing tablet, etc.), computer data storage (hard drives, USB flash drives, magnetic tape, cloud-based, etc.) and computer network components (routers, switches, modems, network adapters, etc.).
- 9. Consulting Costs Costs associated with a consultant work and fees.
- 10. Contingencies Costs associated with a possible future event or condition, the outcome of which is undeterminable.
- 11. Contributions or Donations Such costs include cash, property or services, and are unallowable regardless of recipient.
- 12. Dues and Membership Fees Memberships in civic or community organizations, country clubs, social or dining clubs, etc.
- 13. Entertainment Costs of social activities (office parties, picnics, etc.) and any directly associated costs (tickets to shows or sporting events, meals, lodging, gratuities, etc.).
- 14. Fines and Penalties Such costs result from violations of, or failure to comply with, Federal, State, local or foreign laws. Such costs would be allowable if incurred to comply with specific terms and conditions of the contract.
- 15. First Class Air Travel Costs associated with the purchase of or upgrade to first class.
- 16. Housing Cost Rent or mortgage costs associated with primary residence or temporary housing.
- 17. Independent Research and Development Costs Such costs include research and development expenditures not sponsored by, or required in, the performance of an OCAST contract.
- 18. Insurance Costs of insurance on the lives of officers, partners, or sole proprietors where the contracting organization is the beneficiary; property insurance; malpractice insurance.
- 19. Interest and Other Financial Costs Interest on borrowings, costs of refinancing capital, fees paid in connection with preparing prospectuses, issuing stock rights, bank service charges, insufficient funds fees, credit card fees, etc.
- 20. Late Fees Fees associated with delinquent payments on accounts.
- 21. Legal Services Any work provided by a legal professional for the benefit of or on behalf of the organization.



- 22. Library Services general library support.
- 23. Lobbying Costs Lobbying services provided internally or by an outside firm.
- 24. Maintenance and Repair Costs Costs incurred for necessary maintenance, repair or upkeep of buildings and equipment.
- 25. Meals Working lunches/dinners, staff meals, meeting refreshments.
- 26. Office Supplies Pens, pencils, paper, folders, printer toner, notebooks, note pads, staplers, hole punchers, binder clips, tape dispensers, etc.
- 27. Office Equipment calculators, phones, fax machines, copier machines, audio/video projectors/recorders, video conferencing equipment, etc.
- 28. Office Furniture desks, tables, chairs, bookshelves, filing cabinets, etc.
- 29. Organization Costs Costs associated with incorporating the organization, registering with the Oklahoma Secretary of State, reorganizing the corporate structure of the business, or raising capital.
- 30. Patent, Licensing, Invention, or Copyright Costs Fees or costs associated with preparing or submitting patent applications, fees paid to the US Patent and Trademark Office for patent application, patent maintenance, etc.
- 31. Public Relations/Marketing Costs to produce press releases, brochures, fliers, etc. or develop websites for the purpose of marketing a service or product.
- 32. Relocation Costs Costs associated with relocating an employee.
- 33. Regulatory Approvals IRB, IACUC, IBC, or other approvals required to perform specific types of research.
- 34. Royalty Costs Such costs include royalties paid for use of the patent, or in cases where the patent is invalid, unenforceable, or expired.
- 35. Selling and Marketing Costs Fees paid to marketing firms, advertising costs, other costs directly associated with the selling of a product or service.
- 36. Taxes Such costs include federal and state income taxes, and taxes associated with financing, refinancing, or reorganizations.
- 37. Tuition and Fees Tuition costs and related fees incurred by students associated with the OCAST contract.

Appendix B - Additional Resources

Program Website:

https://oklahoma.gov/ocast/programs/oklahoma-applied-research-support.html

Request for Reimbursement Guide:

https://oklahoma.gov/content/dam/ok/en/ocast/documents/ogx/budget/rfp-submission-guide.pdf

OGX User's Guide:

https://oklahoma.gov/content/dam/ok/en/ocast/documents/ogx/ogx-user-guide.pdf

OCAST Frequently Asked Questions

https://oklahoma.gov/ocast/programs/faqs.html